AES*Direct* and AES*PcLink Overview*

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Getting Started with AESDirect

Introduction to AESDirect

AES is the electronic method to file your Shipper's Export Declaration (SED) and ocean manifest information direct to the U.S. Customs and Border Protection (CBP) and U.S. Census Bureau (Census).

AESDirect is the U. S. Census Bureau's free, Internet-based system for filing SED information. AESDirect edits the SED information for accuracy and completeness before it is accepted and forwarded to the AES mainframe.

AESPcLink is the desktop application of AESDirect. It allows you to key and save SEDs without being connected to the Internet and submit to AESDirect at a later time.

Registration and Certification

Step 1: Read the Terms and Conditions for Using AESDirect

Step 2: Submit the Online AESDirect Registration Form from the AESDirect homepage and Assign an Account Administrator (www.AESDirect.gov)

Step 3: Complete the Security Log In Process
The Account Administrator will receive an e-mail from AESDirect, follow the instructions as specified to complete the Security Log In Process.

Step 4: Pass a Certification Quiz to Activate AESDirect Account
Click on Certification Quizzes under Log In on the Home Page and select one of the two quizzes. When prompted, enter the company's Username and Password.

A quiz may be taken at any time, and as many times as needed to pass. Each quiz consists of a series of multiple choice and true/false questions. At least 27 (of 30) questions must be answered correctly to pass the quiz.

Step 5: Receive Authorization to File through AESDirect
Note that once you have passed a quiz, the company's Username and Password will be activated. AESDirect will send an e-mail to the Account Administrator indicating activation.

Step 6: Log In to AESDirect and/or Activated AESPcLink Software to File a SED

AES*Direct* Account Administrator

The Account Administrator is responsible for obtaining the company's authorization to file through AES*Direct* and maintaining the security of the company's account by:

1. Selecting a permanent Administrator Code and new Password

2. Keeping the permanent Administrator Code secure

3. Activating the AES*Direct* account by passing a Certification Quiz

4. Distributing the Username and Password to the company's filers

5. Keeping the Password current
    *   Update the Password at least every 180 days
    *   Update the Password if an employee with access to the password leaves the company or otherwise is no longer an authorized user
    *   Advise all company filers when the Password has been changed

6. Reviewing all e-mails received from AES*Direct* and the U.S. Census Bureau

7. Updating Administrator contact information

Update Password

1. From the AES*Direct* homepage, click "Log In"
2. Enter Username and Password, click "Ok"
3. Click "Change Password"
4. Enter the Administrator Code, Click "Continue"
5. Verify Account Administrator Profile, Update if needed, Click "Continue"
6. Enter Old Password, New Password, and confirm New Password
7. Click "Continue"
8. A message will pop-up stating that the Password has been updated, click "Continue"
9. Click "Continue" to enter AES*Direct* to file SED(s) or manage your company shipments

Frequently Asked Questions by New Users

Q: Can I use my AES*Direct* Username and Password for AES*PcLink*?

A: Yes. Your Username and Password can be used for both AES*Direct* and AES*PcLink.*

Q: I noticed that the field names are color-coded, what does that mean?

A: AES*Direct* and AES*PcLink* fields are listed in three colors: Red, Blue, and Black.
- Red – Mandatory field
- Blue – Conditional field, if you are unsure if the blue field is needed for your shipment, please go to the Help screen.
- Black – Optional

Q: How do I access the Help screen?

A:
- In AES*Direct* – click on the "Help" link in the upper right hand corner of each section.
- In AES*PcLink* – click "F1" on your keyboard for the Help screen.

Q: How do I look up codes in AES*Direct* and AES*PcLink*?

A:
- In AES*Direct* – to access a lookup, determine if the field has a lookup (this is indicated by (L) next to the field name), if so, type "?" and hit "Tab". This will bring up a search box for that specific field.

- In AES*PcLink* – click on the "Lookup" next to the field you wish to search.

Q: What type of responses can I receive from AES?

A: AES has 4 types of responses:

Shipment Added – This message sends back an Internal Transaction Number (ITN). This message may also include additional information: Shipment Added, Must Verify; Shipment Added, Must Correct Warnings; Shipment Added, Compliance Alert.

Shipment Rejected – Shipment was NOT accepted by AES. Correct and retransmit to AES. You MUST receive an ITN prior to export for Pre-departure shipments and within 10 calendar days of export for approved Post-departure shipments.

Shipment Replaced or Changed – This message indicates that the correction sent to a previously accepted shipment applied.

Shipment Deleted – Shipment is deleted from AES.

Q: How do I know what the response means?

A:

- The e-mail address listed on the shipment will receive 2 e-mail messages: (1) stating that the shipment has been accepted for processing and (2) the results of the processing. You must wait until the second e-mail.

- E-mail examples:

  a.   First E-mail:

```
   Processing Started for BATCH:
AESPcLink.O434.20060322.135415.TAESC
 ***** SUCCESSFULLY PROCESSED XTN:112610676-USERGUIDE
***** SUBMITTED TO AES
```

  b.   Second E-mail:

```
(974) SHIPMENT ADDED
-------------------------------------------------------
EXPORTER: STRIKE-R-US
SHIPMENT: USERGUIDE
AES XTN : 112610676-USERGUIDE (FOR USE IN SED EXEMPTION STATEMENT)
AES ITN : X20060322000036
```

- Each response message has a three-character code attached to the message. All additional messages (Fatal, Compliance, Warnings) will also have a three-digit code attached. For example, in the response above, the code is "974."

  Note: Use the Commodity Filing Response Messages Appendix (AESTIR Appendix A) on the **AES***Direct support center to read about each specific error code.*

Q: Where can I access my shipment responses?

A:

- Your responses will be sent to your e-mail and the AES*Direct* Shipment Reporting Center. If you do not receive a response via e-mail, please check the Shipment Reporting Center.

- Log in to AES*Direct*, from the main menu, click on "Shipment Reporting Center." You may choose to retrieve the shipment by Shipment Reference Number or by Date of Export. Enter the information and click "Get Log." This will bring up your shipment with the AES response attached.

- Shipment Responses may also be reviewed in AES*PcLink* under "Shipment Status" or "Shipment Responses." Please review the AES*PcLink* Userguide for more information.

Q: What is an ITN?

A:
- The ITN is the Internal Transaction Number. This is the confirmation number that your shipment has been accepted by AES. This number must be provided to the U.S. Customs and Border Protection (CBP) in the Proof of Filing Citation.

Q: How do I retrieve a shipment?

A:
- Log in to AES*Direct* or AES*PcLink*

AES*Direct*
- Click on "Retrieve Existing Shipment"
- A black screen will appear, enter the Shipment Number and the USPPI ID Number
- Click Retrieve Shipment

AES*PcLink*
- "Retrieve Shipment" (AES*PcLink)*
- Enter the Shipment Number and the USPPI ID Number
- Click Retrieve Shipment

Q: How do I correct a shipment?

A:
- Retrieve the shipment from AES*Direct* or AES*PcLink*
- Edit the section that needs to be corrected
- Retransmit to AES

    Note: DO NOT change the shipment reference number for corrections because this will create a duplicate shipment.

Q: How do I show U.S. Customs and Border Protection (CBP) that the SED is accepted by AES?

A:
- Indicate the Proof of Filing Citation on your Air Waybill, Bill of Lading or other commercial loading document.

Q: Does the ITN change when an update or change is submitted to AES?

A: No. The ITN will remain the same for the shipment regardless of corrections submitted.

Q: What is my Shipment Reference Number?

A: The Shipment Reference Number is any alpha/numeric combination, up to 17 characters, that references your shipment. The shipment reference number MUST be unique for each shipment for five (5) years.

Q: What is my Filer ID?

A: The Filer ID is the number registered with AES*Direct*. This number can be the company Employment Identification Number (EIN), Social Security Number (SSN), IRS Number, or DUNS number.

Q: What is the difference between XTN and ITN?

A:
- The **ITN** is the Internal Transaction Number. This number is the confirmation number that your shipment has been accepted by AES and is ready to export. The ITN is used in the proof of filing citation for Option 2 (Predeparture) shipments. The ITN must be used for shipments that are required to be filed electronically.

  The number is in the following format:
  - xYYYYMMDDNNNNNN (Y=Year, M=Month, D=Day, N=Number)

- The **XTN** is the External Transaction Number. This is the filer ID number, followed by a dash, followed by the shipment reference number. The XTN is allowed as a proof of filing citation for Option 2 (Predeparture) shipments that are not mandatory to be filed electronically in AES.

  For example:
  - 112233445-ShipmentNumber1

Q: Do I receive an ITN for a shipment with a Fatal Error message?

A: No. A fatal error message indicates that your shipment has NOT been accepted by AES. Correct the shipment, retransmit to AES, and receive an ITN prior to export for Predeparture shipments and within 10 calendar days for approved Postdeparture shipments.

- You may receive a Fatal Error Message on a shipment that was previously accepted by AES. Correct and retransmit immediately.

Q: What is a routed export transaction--is that like a routed ocean shipment?

A:
- A routed ocean shipment is a movement of goods along the established route of a steamship line. For example, the ship may load first in Boston, then take on cargo at Savannah and again at Miami before debarking for a foreign port of unlading. This is NOT the same as a "routed export transaction", as shown below.

- In a routed export transaction where the Foreign Principal Party in Interest (FPPI) authorizes a U.S. Authorized or Forwarding Agent to prepare and file the SED, the U.S. Principal Party In Interest (USPPI) must maintain documentation to support the information provided to the Authorized or Forwarding Agent for preparing the SED as specified in 15 CFR 30.3(e). If you need help assistance with a routed export transaction or if you are unsure if your shipment is routed, please call 800-549-0595 and press menu option #3 for the Regulations, Outreach and Education Branch.

Q: Who is the USPPI?

A: The US Principal Party in Interest (USPPI) is the person or company in the United States that receives the primary benefit (usually financial) from the export transaction. This may be the manufacturer, distributor, reseller, or the U.S. order party representing a foreign seller. The USPPI may also be a Foreign Principal Party in Interest (FPPI) if the FPPI was in the US at the time of export. If you need help determining the USPPI, please call 800-549-0595 and press menu option #3 for the Regulations, Outreach and Education Branch.

Q: The USPPI is not located in the United States, so who do I show as the USPPI?

A:

- In some instances, the U. S. authorized agent, acting as the U. S. order party, can be shown as the USPPI. For merchandise previously imported into the United States under a consumption entry, the importing U. S. broker may be shown as the USPPI.

- If the Foreign Principal Party in Interest (FPPI) is in the United States at the time of purchase, then the FPPI may be listed as the USPPI. The ID number listed would be the FPPI's passport number or border crossing number with the ID Type as "Other" or "Foreign Entity." The address is the address where the FPPI resided while in the United States at the time of purchase.

- If you need help determining the USPPI, please call 800-549-0595 and press menu option #3 for the Regulations, Outreach and Education Branch.

Q: My invoice doesn't show the same unit of quantity that the Schedule B or HTS does--which one do I use?

A: You must use the indicated unit(s) of quantity in the Schedule B or HTS Code Manual.

SED Data Fields in AES*Direct* and AESPcLink

Shipment Information Section

The Shipment Information section is **MANDATORY** for **all** SED filings.

Shipment Information Section Fields

E-mail Response Address
Mandatory field. The default for this field is the Administrator E-mail address

> *Note: You may overwrite the default e-mail address with another e-mail address or enter additional e-mail addresses, separated by a comma (",").*

Shipment Reference Number
Mandatory field. This is *your* reference number for the shipment. It can be any alpha/numeric combination up to 17 characters

> *Note: This number must be UNIQUE for five (5) years.*

Transportation Reference Number
Conditional field. The transportation reference number is **MANDATORY** for all vessel shipments. Use the booking number issued by the ocean carrier to complete the Transportation Reference Number field.

The Transportation Reference Number is **ALLOWED** for air, rail, and truck; **NOT ALLOWED** for other modes of transportation. Air Transportation Reference Number must be the Air Waybill submitted using the format NNN-NNNNNNNN (N=numeric).

Origin State
Mandatory field. Select the State name from the drop-down list. Note that state of origin is defined as "the state in which the merchandise actually starts its journey to the port of export; or the state of the commodity of the greatest value; or the state of consolidation."

Foreign Trade Zone
Conditional field. Report the FTZ number if the goods specified originate in a Foreign Trade Zone.

Port of Export (L)
Mandatory field. Port of export or border crossing point out of the US; Lookup is available by port name for the 4-digit Schedule D code.

Note: For transshipments through Canada, the port of export is the port where the shipment crosses the U.S./Canadian border.

Country of Destination (L)

Mandatory field. List the Country of Ultimate Destination; Lookup is available by country name for the 2-digit ISO code.

Port of Unlading (L)

Conditional field. The Port of Unlading Code is **REQUIRED** for **all** vessel shipments and for **air** shipments between the United States and Puerto Rico (*If you cannot find the port, search on the country name to see all ports in that country).* **NOT ALLOWED** for other modes of transportation. Lookup is available by port name.

Departure Date

Mandatory field. List the date of departure from the United States.

> *Note: If you do not know the exact date of export, AESDirect allows you to provide your best estimate. When you know the date, retrieve your shipment, amend the data, and resubmit to AESDirect.*

Mode of Transport

Mandatory field. Select the Mode of Transport (MOT) that will carry the goods over the border or from the port of export. Select MOT from the drop-down list.

> *Note: Note that for transshipments through Canada, the mode of transport should be that of the border-crossing carrier.*

Carrier SCAC/IATA (L)

Conditional field. The Carrier SCAC/IATA is the Carrier Identification code. **REQUIRED** for Vessel, Rail, Truck, and Air, **NOT ALLOWED** for other modes of transportation. SCAC code is for vessel, rail, and truck shipments and the IATA code for air shipments. Lookup is available by carrier name.

> *Note: For transshipments through Canada, the carrier code should be that of the border-crossing carrier.*

- If the carrier's SCAC or IATA code is not listed in Lookup and you cannot obtain the code from the carrier, you may file your SED using the following codes:
  - **UNMT** Unknown Mexican Trucker
  - **UNFA** Unknown Foreign Air Carrier
  - **UNUA** Unknown U.S. Air Carrier
  - **UNCA** Unknown Canadian Air Carrier
  - **UNKN** Other Unknown Carriers (All Modes)

Conveyance Name

Conditional field. The conveyance name is the *vessel* name for ocean shipments and the *carrier* name for air, truck, and rail shipments. *REQUIRED* for Air, Rail, Truck, and Vessel; *NOT ALLOWED* for other modes of transportation.

Vessel Flag (L)

Optional field. The vessel flag is the Country where the vessel is registered. Lookup is available by vessel name for 2-character ISO Country Code.

Entry Number

Conditional field. Enter the U.S. Customs and Border Protection (CBP) number for Entry. *REQUIRED* for all previously imported shipment that has a U.S. Customs and Border Protection entry number.

Routed Transaction

Mandatory field. Select **Yes** or **No**.

> *Note: A routed transaction is defined as "an export transaction where the Foreign Principal Party in Interest (FPPI or consignee) authorizes a U.S. Freight Forwarder or Authorized Agent to facilitate export of items from the United States." In a routed transaction the U.S. Principal Party in Interest (USPPI) is the entity in the United States that receives the primary benefit, monetary or otherwise, of the export transaction.*

Related Company

Mandatory field. Select **Yes** or **No**.

> *Note: A related party transaction is defined as "one between a domestic USPPI and a foreign consignee (e.g., parent company or sister company), where there is at least a ten percent ownership of each by the same U.S. or foreign person or business enterprise."*

Hazardous

Mandatory field. Select **Yes** or **No**.

US Principal Party in Interest (USPPI) Section

The USPPI section is **MANDATORY** for all SED filings and must contain:

- The USPPI address is:

  - The location from which the merchandise actually starts its journey to the port of export, *or;*

  - If the USPPI does not own, rent or lease a facility (processing plant, warehouse or distribution center, retail outlet, etc.) at the location from which the goods began their export journey, the address from which the export was directed must be used, *or;*

  - If shipments of multiple origins are reported on a single AES record, the USPPI address from which the greatest value begins its journey should be used or, if that information is not known at the time of export, the address from which the export is directed must be used.

USPPI Section Fields

Name (Company Name)
Mandatory field.

> ***Note: DO NOT use the ampersand (&) character in the company name, spell out "and."***

ID Number
Mandatory field. Enter the USPPI's IRS Tax ID Number (EIN or SSN) without hyphens. If a Foreign Entity is listed as the USPPI, enter the border crossing number, passport number, or any other number assigned by US Customs and Border Protection (CBP).

ID Type
Mandatory field. Select type of ID number from the drop-down list.

First Name (Contact First Name)
Mandatory field.

Last Name (Contact Last Name)
Mandatory field.

Phone
Mandatory field. Include Area Code and 7-digit phone number. Format NNNNNNNNNN, where N=Number.

Address 1
Mandatory field.

Address 2
Optional field.

City
Mandatory field.

State
Mandatory field. Select from the drop-down list.

> *Note: For companies in Puerto Rico, the City is the Puerto Rico city, the State is "PR" and when required, the Country is "US."*

Postal Code
Mandatory field. Enter 5-digit ZIP Code. The Postal code must be a valid zip code for the State listed.

Ultimate/Intermediate Consignee Section

The Ultimate Consignee section is *MANDATORY* for all SED filings. The Intermediate Consignee section is *CONDITIONAL*, if an Intermediate Consignee is involved in the shipment; the information must be submitted.

- *Ultimate Consignee* - The Ultimate Consignee is the party receiving the merchandise for designated end use or the party designated as the Foreign End User on the validated export license.

- *Intermediate Consignee* - The Intermediate Consignee is the party in a foreign country who makes delivery of the merchandise to the ultimate consignee or the intermediate consignee party listed on the export license.

- *Sold En Route* – If the ultimate consignee is unknown at the time of export, use the "Sold En Route" selection in the Ultimate Consignee section. Update the consignee information within four (4) days of shipment transmission to AES. For sold en route sections, list the country and the city of the first port of call.

    - **AES*Direct*** – Select the "Sold En Route" button at the top of the Ultimate Consignee section.
    - **AES*PcLink*** – Check the "Sold En Route" box at the bottom of the Ultimate Consignee section.

Ultimate/Intermediate Consignee Section Fields

Name (Company Information)
Mandatory field.

> ***Note: DO NOT use the ampersand (&) character in the company name, spell out "and."***

Name (Contact Information)
Optional field

Phone
Optional field

Address 1
Mandatory field. For Ultimate Consignee profiles for cargo "Sold En Route" leave blank.

Address 2
Optional field.

City

Mandatory field. For Ultimate Consignee profiles for cargo "Sold En Route" enter first port of call.

State (L)

Conditional field. State codes are ***REQUIRED*** for consignees located in the US, Puerto Rico, Mexico, and Canada.

> *Note: For companies in Puerto Rico, the City is the Puerto Rico city, the State is "PR" and when required, the Country is "US."*

Country (L)

Mandatory field. Enter the two-digit ISO Country Code or use Lookup. For cargo "Sold En Route" enter the code of the country of first port of call.

Postal Code

Conditional field. ***REQUIRED*** for US and Puerto Rico shipments. Enter the 5-digit zip code. The Postal code must be a valid zip code for the State listed. ***NOT ALLOWED*** for other Ultimate Consignee countries.

Commodity Line Item Section

The Commodity Line Item section is *MANDATORY* for each commodity valued over $2,500 per Schedule B or HTS classification **or** that is licensed. *All* SED filings must include at least one line item.

Helpful Hints:

- When two or more items are classified under the same Schedule B number, they should be reported as one line item with a single quantity, shipping weight, and value unless a validated license requires otherwise or the shipment consists of a combination of foreign and domestic merchandise that is classified under the same Schedule B number.

- Enter the full 10 digit Schedule B or HTS without periods or hyphens. Some HTS numbers are not valid for export. An up-to-date list of invalid HTS codes can be found in the AES*Direct* Support Center.

- When a correct Schedule B or HTS is entered, the Unit(s) of Measure required for that commodity classification will automatically populate. Enter the appropriate quantity for the units specified.

- Provide your best estimate of the quantity for the commodity. As soon as you know the actual value, retrieve the shipment, amend the data, and resubmit to AES*Direct*.

Commodity Line Item Section Fields

Schedule B/HTS (L)
Conditional field. Enter the 10-digit commodity code. *REQUIRED* for all commodities *EXCEPT* those shipping under Export Information Code "HH" (Household Goods). Schedule B or the HTS number is allowed.

Description
Mandatory field. Enter the commercial description of the commodity.

Marks & Numbers
Optional field. Enter any relevant information that appears on the merchandise or shipment packaging that can identify the entire shipment or a portion of it.

1st Quantity
Conditional field. Required for all commodities except those shipping under Export Information Code "HH" (Household Goods). The quantity entered should always be measured in the units indicated in the 1st Unit field.

1st Unit

Conditional field. This field is automatically populated based on the Schedule B/HTS entered.

> *Note: Do NOT change the Unit of Measure; this field is automatically populated when a valid Schedule B or HTS number is entered.*

2nd Quantity

Conditional field. Required for all commodities with two units of measure specified by the Schedule B/HTS code. If required, the second quantity entered should be measured in the units indicated in the 2nd Unit field. If not required, leave blank.

2nd Unit

Conditional field. This field is automatically populated based on the Schedule B/HTS entered. If the 2nd Unit lists "None Selected," leave 2nd Quantity field blank.

> *Note: Do NOT change the Unit of Measure; this field is automatically populated when a valid Schedule B or HTS number is entered.*

Value

Mandatory field. Enter the value rounded to the nearest whole U.S. dollar. Do not use non-numeric characters (periods, commas, dollar signs, etc.).

> *Note: Value is defined as the selling price or cost if not sold, including freight, insurance, and other charges to the U.S. port of export, but excluding unconditional discounts and commissions of the USPPI to the FPPI.*

Shipping Weight

Mandatory field. Enter the gross weight in kilograms rounded to the nearest whole number without any non-numeric characters (periods, commas, quotation marks, etc.). This is the weight for the commodity specified on this specific line, not the entire shipment weight.

Export Code

Mandatory field. Select the proper Export Code from the drop-down list. The most common export code is *OS: All other exports*.

Origin

Conditional field.

- **Domestic exports** are defined as "merchandise grown, produced, or manufactured in the United States (including imported merchandise which has been enhanced in value or changed from the form in which imported by further manufacture or processing in United States)."

- **Foreign exports** are defined as "merchandise that has entered the United States and is being re-exported in the same condition as when imported."

- **Not Selected** is only allowed for Household Goods – "HH"

License Type
Mandatory field. Select the proper code from the drop-down list. The most common license type is: C33: No License Required (NLR).

License Number
Conditional field. If shipment is licensed, enter the license number. This field is enabled when required.

ECCN
Conditional field. If required by the License Type, enter the ECCN (Export Control Classification Number) from the Commerce Control List in the Bureau of Industry and Security (BIS) Regulations.

DDTC Exemption Number
Conditional field. This is a U.S. Department of State Field. If required by the License Type, the exemption number is the specific citation from the International Traffic in Arms Regulations (ITAR) (22 CFR 120 -130) that exempts the shipment from the requirements for a license or other written authorization from DDTC. Select the proper exemption from the drop-down list. This field is enabled when required.

DDTC Registration Number
Conditional field. This is a U.S. Department of State Field. This is the number assigned by DDTC to persons who are required to register per Part 122 of the ITAR (22 CFR, 120-130), that has an authorization from DDTC (license or exemption) to export the licensed commodity. This field is enabled when required.

DDTC Significant Military Equipment (SME) Indicator
Conditional field. This is a U.S. Department of State Field. The SME indicator designates articles on the United States Munitions List (USML) for which special export controls are warranted because of their capacity for substantial military utility or capability. See Section 120.7 of the ITAR (22 CFR, 120-130), for a definition of SME and Section 121.1 for items designated as SME articles. This field is enabled when required.

DDTC Eligible Party Certification Indicator
Conditional field. This is a U.S. Department of State Field. The Eligible Party Certification Indicator is the certification by the U.S. exporter that the exporter is an eligible party to participate in defense trade. See ITAR (22 CFR 120.1(c)).

This certification is required only when an exemption is claimed. This field is enabled when required.

DDTC USML Category Code
Conditional Field. This is a U.S. Department of State Field. If required by the License Type, the USML category code provides a means of identifying your export shipment (22 CFR 121). Select the proper category from the drop-down list. This field is enabled when required.

DDTC Quantity
Conditional field. This is a U.S. Department of State Field. If required by the License Type, the quantity listed is for the licensed commodity, use the Quantity in the Unit of Measure shown on the license, if none is listed, enter the Quantity in the Unit of Measure that is standard for the commodity. This field is enabled when required.

DDTC Unit of Measure
Conditional field. If required by the License Type, this is the unit of measure for the article being shipped. This field is enabled when required.

Used Vehicle (AES*Direct* Field)
Mandatory field. The default for this field is **No**. Change the indicator to **Yes** for used vehicles. A valid Used Vehicle HTS or Schedule B number must be used when "YES" is indicated and vehicle information is submitted.

> ***Note: This indicator is only in AES*Direct*. Click on "Add/Edit Vehicles" in AES*PcLink* to enter Vehicle information. A valid Used Vehicle HTS or Schedule B number must be used when entering vehicle information.***

VIN/Product ID
Conditional field**.** Required if Used Vehicle is "**Yes**" in AES*Direct* or if entering information in the "**Add/Edit Vehicles**" function in AES*PcLink*. Enter VIN (Vehicle Identification Number) or Product ID Number.

ID Type
Conditional field. Required if Used Vehicle is "**Yes**" in AES*Direct* or if entering information in the "**Add/Edit Vehicles**" function in AES*PcLink*. Select either VIN (Vehicle Identification Number) or Product ID from the drop-down menu.

Vehicle Title
Conditional field. Required if Used Vehicle is "**Yes**" in AES*Direct* or if entering information in the "**Add/Edit Vehicles**" function in AES*PcLink*. Enter the unique title number issued by the State Motor Vehicle Administration.

Vehicle Title State

Conditional field. Required if Used Vehicle is "**Yes"** in AES*Direct* or if entering information in the "**Add/Edit Vehicles**" function in AES*PcLink*. Enter the two-digit state code for the state in which the Vehicle Title was issued.

Freight Forwarder Section

This section is **REQUIRED** if the filer is acting as an Authorized Agent filing on behalf of the USPPI or if the USPPI is using a Freight Forwarder located in the US or in Puerto Rico.

Freight Forwarder Section Fields

Name (Company Name)
Mandatory field.

> ***Note: DO NOT use the ampersand (&) character in the company name, spell out "and."***

ID Number
Mandatory field. Enter the Freight Forwarder or Authorized Agent's EIN, SSN or D-U-N-S without hyphens.

ID Type
Mandatory field. Select from the drop-down list.

Name (Contact Name)
Mandatory field.

Phone
Mandatory field.

Address 1
Mandatory field.

Address 2
Optional field.

City
Mandatory field.

State
Mandatory field. Must be a U.S. State or Puerto Rico (PR).

Postal Code
Mandatory field. Enter 5-digit ZIP Code. The Postal code must be a valid zip code for the State listed.

Country
Mandatory field. Country must be United States.

Equipment Details Section

The Equipment Details section is **OPTIONAL** for all SED filings.

> ***Note: If you choose to complete this section you must include at least one equipment number. Optional Fields are edited on, enter valid data.***

Equipment Detail Section Fields

Equipment Number
Optional field. Use the container number for containerized shipments.

Seal Number
Optional field. Use the security number of the seal placed on the equipment.

General AES Information

Key Definitions

Authorized Agent - An individual or legal entity domiciled in or otherwise under the jurisdiction of the United States that has obtained power of attorney or written authorization from a US Principal Party in Interest or Foreign Principal Party in Interest to act on it's behalf, and to complete and file the SED.

Foreign Principal Party in Interest (FPPI) - The party shown on the transportation documents to whom the final delivery or end-use of the goods will be made. If the FPPI is in the US when the goods are purchased or obtained for export, the FPPI must be shown as the USPPI.

Freight Forwarder - The person in the United States who is authorized by the US or Foreign Principal Party in Interest to move the cargo from the United States to the foreign destination and/or prepare and file the required documentation.

Intermediate Consignee - The person or entity in the foreign country who acts as an agent for a Foreign Principal Party in Interest with the purpose of effecting delivery of items to the Ultimate Consignees. The Intermediate Consignee may be a bank, forwarding agent, or other person who acts as an agent of the Foreign Principal Party in Interest.

Order Party - The person in the United States that conducts the direct negotiations or correspondence with the foreign purchaser or ultimate consignee and who, as a result of these negotiations, receives the order from the foreign purchaser or ultimate consignee. If a U.S. order party directly arranges for the sale and export of goods to a foreign entity, the US order party shall be listed as the USPPI in the SED.

Routed Export Transaction - A transaction where the Foreign Principal Party in Interest authorizes a U.S. Authorized or Forwarding Agent to facilitate export of items from the United States.

Ultimate Consignee - The person located abroad who is the true Foreign Principal Party in Interest, receiving the export or re-export for the designated end use.

U.S. Principal Party In Interest (USPPI) - The person or legal entity in the United States that receives the primary benefit, monetary or otherwise, of the export transaction. Generally, that person is the U.S. seller, manufacturer, or

order party, or the foreign entity while in the United States when purchasing or obtaining the goods for export.

USPPI (U.S. Principal Party in Interest) Overview

U.S. Principal Party in Interest (USPPI):

The USPPI is the person or legal entity in the United States that receives the primary benefit, monetary or otherwise, of the export transaction.

Generally That Person Can Be The:

- U.S. Seller (wholesaler/distributor) of the merchandise for export.
- U.S. Manufacturer if selling the merchandise for export.
- U.S. Order Party - Party who directly negotiated between the U.S. seller and foreign buyer and received the order for the export of the merchandise.
- Foreign Entity if in the U.S. when items are purchased or obtained for export.

Responsibilities of Parties in a Normal Export Transaction

USPPI

- Prepare the SED OR authorize an Authorized or Forwarding Agent to prepare and file the SED, with a power of attorney or written authorization.
- If authorizing an Authorized or Forwarding Agent - provide information to such agent for completing the SED.
- Maintain documentation to support the information reported on the SED.

Freight Forwarder or Authorized Agent

The Freight Forwarder or Authorized Agent, when authorized by a USPPI to prepare and file the SED for an export transaction, is responsible for the following:

- Accurately preparing and filing the SED based on information received from the USPPI and other parties involved in the transaction.
- Obtain a power of attorney or written authorization from the USPPI.
- Maintain documentation to support the information reported to the AES, as specified in 15 CFR 30.10.
- Upon request, provide the USPPI with a copy of the export information in a manner prescribed by the USPPI.

For further clarification of these regulations call the U.S. Census Bureau - Regulations 800-549-0595; menu option 3.

Responsibilities of Parties in a Routed Export Transaction

USPPI

In a Routed Export Transaction where the Foreign Principal Party in Interest (FPPI) authorizes a U.S. Freight Forwarder or Authorized Agent to prepare and file the SED, the U.S. Principal Party In Interest (USPPI) must maintain documentation to support the information provided to the Freight Forwarder or Authorized Agent for preparing the SED as specified in 15 CFR 30.3(e).

The USPPI must provide the Freight Forwarder or Authorized Agent with the following information to assist in preparing the SED:

- Name and address of the USPPI
- USPPI's IRS, Tax ID Number (EIN or SSN)
- Point of origin (State or FTZ)
- Commercial description of commodities
- Origin of goods indicator: Domestic (D) or Foreign (F)
- Schedule B/HTS Number
- Quantity/unit of measure
- Value
- Upon request from the FPPI or its agent, the Export Control Classification Number (ECCN) or sufficient technical information to determine the ECCN
- All licensing information necessary to file the SED for commodities where the Department of State, the Department of Commerce, or other U.S. Government agency issues a license for the commodities being exported, or the merchandise is being exported under a license exemption
- Any information that the USPPI knows will affect the determination of license authorization

Freight Forwarder or Authorized Agent

In a routed export transaction, the Authorized / Forwarding Agent is responsible for:
- Obtaining a power of attorney or written authorization from the FPPI to prepare and file the SED on its behalf
- Preparing, signing, and filing the SED based on information obtained from the USPPI or other parties involved in the transaction
- Maintaining documentation to support the information reported on the SED

- And, upon request by the USPPI, provide appropriate documentation to the USPPI verifying that the information provided by the USPPI was accurately reported on the SED

The Freight Forwarder or Authorized Agent must also provide the following export information on the SED:

- Date of exportation
- Transportation Reference Number (when required)
- Ultimate consignee
- Intermediate consignee (if applicable)
- Forwarding or Authorized Agent name and address
- Forwarding or Authorized Agent's EIN, SSN, or D-U-N-S
- Country of ultimate destination
- Mode of Transportation
- Carrier Identification Code (SCAC/IATA) and Conveyance Name
- Port of export
- Foreign Port of unlading
- Shipment Weight
- ECCN
- License or license exemption information

Proof of Filing Citations and Exemption Legends

Regulations concerning Proof of Filing Citations and Exemption Legends are contained in Foreign Trade Regulations. (Census Bureau Website, Requires Acrobat Reader)

Once an Internal Transaction Number (ITN) is assigned to the shipment, the shipment is ready for export. The Filer must cite either the External Transaction Number (XTN; Filer ID – Shipment Number) or the ITN on the first page of the Bill of Lading, Air Waybill, and other commercial documentation.

> ***Note: The ITN must be cited for all shipments that are required to be filed in AES. These include items on the Commerce Control List (CCL) or the United States Munitions List (USML) that formerly required a paper SED. Rough and raw diamonds that are subject to export control also require the ITN to be used.***

Option 2 (Predeparture) Citations

- AES ITN
    - Example: AES X20060815000001

- AES XTN

o   Example: NDR 123456789 – CARGO1

Option 4 (Postdeparture) Citations

- If Authorized Agent files on behalf of the USPPI
  o   NDR AES4 USPPI ID – FILER ID
  o   Example: NDR AES4 12345678900 – 987654321

- If USPPI files SED through AES
  o   NDR AES4 USPPI ID
  o   Example: NDR AES4 12345678900

SED: Unit(s) of Measure

The Unit(s) of Measure for a given commodity is determined by the Schedule B or Harmonized Tariff Schedule classification of the commodity. In both AES*Direct* and AES*PcLink*, when you enter an accepted classification code for a commodity, the system populates the correct Unit(s) of Measure. Input the Quantity of the commodity, stated in terms of the correct Unit of Measure.

For a description of the AES Units of Measure, find Appendix K of the AESTIR under Appendices at:
http://www.cbp.gov/xp/cgov/export/aes/tech_docs/aestir/june04_intro/

SED: Export Information Codes

AES Export Information Codes are used to categorize shipments and to indicate how much shipment information is required to be filed.

For a description of the AES Export Information Codes, find Appendix E of the AESTIR under Appendices at:
http://www.cbp.gov/xp/cgov/export/aes/tech_docs/aestir/june04_intro/

SED: License Types

For a listing of license codes and descriptions for the U.S. Department of Commerce, Office of Foreign Assets Control (OFAC), Nuclear Regulatory Commission, U.S. Department or State, and Other Partnership Agency Licenses, find Appendix F of the AESTIR under Appendices at:
http://www.cbp.gov/xp/cgov/export/aes/tech_docs/aestir/june04_intro/

Government Web Sites

From Government Sites under Links on the AES*Direct* Home Page, you can access the web sites for the following:

Census Bureau – Foreign Trade Division (FTD)
http://www.census.gov/foreign-trade/www/

Provides information on foreign trade statistics, regulations, reference materials, and extensive details on AES.

Customs and Border Protection (CBP)
http://www.customs.gov/xp/cgov/export/

Provides access to the Customs Export section, including information on AES; blocked, denied and debarred persons lists: and export documents, licenses and requirements.

Department of Commerce – Bureau of Industry and Security (BIS)
http://www.bis.doc.gov

Provides information on export control basics, export administration policies and regulations, compliance and enforcement, seminars and training, and links to Export Administration Regulations (EAR), including the Commerce Control List (CCL).

Department of the Treasury – Office of Foreign Assets Control (OFAC)
http://www.treas.gov/offices/enforcement/ofac/sdn/index.html

Provides access to specially designated nationals (SDN) and blocked persons lists and sanction programs and country summaries.

Department of State – Directorate of Defense Trade Controls (DDTC)
http://pmdtc.org/

Provides information for registering with the DDTC and applying for a license to ship items on the U. S. Munitions List (USML). Includes a link to the International Traffic in Arms Regulations (ITAR).

Export.gov – U.S. Commercial Service, International Trade Administration (ITA)
http://trade.gov/cs/

Provides access to all export-related assistance and market information offered by the federal government.

Contact Information

AES*Direct* Help Desk
Hours: 7 Days a Week, 7:00 AM to 7:00 PM, EST

AESDirect and AESPcLink Technical Assistance
Toll Free: 877-715-4433
Alternative: 301-562-7790
E-mail: boc-support@tradegate2000.com

U.S. Census Bureau
Hours: Monday to Friday, 7:30 AM to 5:00 PM, EST

Automated Export System (AES) Questions
Toll Free: 800-549-0595,
Menu Option 1
E-mail: AskAES@census.gov

Commodity Classifications
Toll Free: 800-549-0595,
Menu Option 2

Regulations on Filing Export Data
Toll Free: 800-549-0595,
Menu Option 3
E-mail: ftdregs@census.gov

USML and CCL Licensing Issues
For licensing issues or information contact one of the appropriate licensing agencies:

U.S. Department of State Licenses
Directorate of Defense Trade Controls: 202-663-2700

Bureau of Industry and Security
Washington, DC: 202-482-4811
Western Regional Office: 949-660-0144

Assistance in Exporting Worldwide
U.S. Commercial Service
1-800-USA-TRADE